



#5  
8-25-01  
B. Hilliard

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	John M. Garth, et al	Assignee:	International Business Machines Corporation
Serial No.:	09/501,493	Examiner:	Not assigned
Filed:	February 9, 2000	Group Art Unit:	2771
		Docket:	ST9-99-130
Title:	TECHNIQUE FOR DETERMINING AN OPTIMAL NUMBER OF TASKS IN A PARALLEL DATABASE LOADING SYSTEM WITH MEMORY CONSTRAINTS		

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on 8/2/01

By: George H. Gates  
Name: George H. Gates

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REVOCATION AND POWER OF ATTORNEY

Technology Center 2100

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Please revoke the existing Powers of Attorney, if any, and appoint the following attorneys and/or patent agents to prosecute this application and to transact all business in the U.S. Patent and Trademark Office in connection therewith:

Romualdas Strimaitis, Reg. No. 35,697; Prentiss W. Johnson, Reg. No. 33,123; Ingrid M. Foerster, Reg. No. 36,511; Gregory M. Plow, Reg. No. 43,005; Farrokh E. Pourmirzaie, Reg. No. 45,297; Christine H. Smith, Reg. No. 43,133; Christopher A. Hughes, Reg. No. 26,914; John E. Hoel, Reg. No. 26,279; Stanley B. Green, Reg. No. 24,351; and Joseph C. Redmond, Jr., Reg. No. 18,753, all of whom are attorneys with I.B.M. Corporation;

George H. Gates, Reg. No. 33,500; Victor G. Cooper, Reg. No. 39,641; Karen S. Canady, Reg. No. 39,927; William J. Wood, Reg. No. 42,236; Jason S. Feldmar, Reg. No. 39,187, and Bradley K. Lortz, Reg. No. 45,472, all of whom are attorneys with Gates & Cooper LLP.

Please direct all correspondence in this application to George H. Gates at:

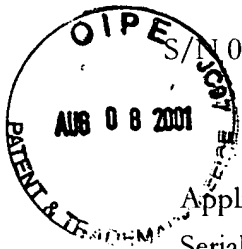
Gates & Cooper LLP  
Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, California 90045  
Telephone: (310) 641-8797

Respectfully submitted,

I.B.M. Corporation

Romualdas Strimaitis  
Name: Romualdas Strimaitis, Reg. No. 35,697  
Title: Counsel, Intellectual Property Law

Dated: July 17, 2001  
Silicon Valley Laboratory  
555 Bailey Avenue J46/G4  
San Jose, California 95141-1003



S/109/501,493

PATENT

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Serial No.:	09/501,493	Group Art Unit:	2771
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**CERTIFICATE UNDER 37 C.F.R. § 3.73(b)**

INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation organized and existing under the laws of the State of New York, having a place of business at Armonk, New York 10504, certifies that it is the assignee of the entire right, title, and interest in the patent application identified above by virtue of:

An assignment from the inventor(s), John M. Garth, James A. Ruddy, and Akira Shibamiya, to International Business Machines Corporation, of the patent application identified above. The assignment was filed in the United States Patent and Trademark Office on February 9, 2000, at Reel 010611, Frame 0635 (copy attached).

International Business Machines Corporation owns 100% interest in the above-identified patent application.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, as the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

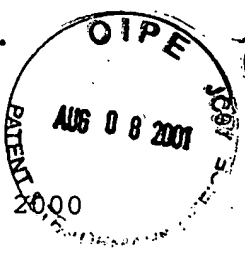
Date:

July 17, 2001

By:

Romualdas Strimaitis  
Name: Romualdas Strimaitis, Reg. No. 35,697  
Title: Counsel, Intellectual Property Law

J/K/C/K



IBM51-043334  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

MAY 11, 2000

PTAS  
PRETTY, SCHROEDER & POPLAWSKI, P.C.  
JANAKI KOMANDURI  
444 SOUTH FLOWER STREET, 19TH FLOOR  
LOS ANGELES, CA 90071



UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/09/2000

REEL/FRAME: 010611/0635  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
GARTH, JOHN MARLAND

DOC DATE: 02/07/2000

ASSIGNOR:  
RUDDY, JAMES ALAN

DOC DATE: 02/02/2000

ASSIGNOR:  
SHIBAMIYA, AKIRA

DOC DATE: 02/07/2000

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AUG 13 2001

Technology Center 2100

ASSIGNEE:  
INTERNATIONAL BUSINESS MACHINES  
CORPORATION  
NEW ORCHARD ROAD  
ARMONK, NEW YORK 10504

SERIAL NUMBER: 09501493  
PATENT NUMBER:

FILING DATE: 02/09/2000  
ISSUE DATE:

010611/0635 PAGE 2

AUG 08 2001

ANTIONE ROYALL, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

03-20-2000

Docket No.: ST9-99-130

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office



101292932

Attached original documents or copy thereof.

To the Honorable Commissioner of Patent

1. Name of conveying party(ies):

- 1) John Marland Garth
- 2) James Alan Ruddy
- 3) Akira Shibamiya

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: 1) 2/7/2000; 2) 2/2/2000; 3) 2/7/2000

2. Name and address of receiving party(ies):

Name: International Business Machines Corporation

Address: New Orchard Road

City: Armonk State/Prov.: New York

Country: USA ZIP: 10504

Additional name(s) & address(es)

☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: 2/2/2000 and 2/7/2000

Patent Application No.

Filing date

B. Patent No.(s)

09/501493

Additional numbers

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Janaki Komanduri

Registration No. 40,684

Address: PRETTY, SCHROEDER & POPLAWSKI, P.C.

444 South Flower Street, 19th Floor

City: Los Angeles State/Prov.: CA

Country: USA ZIP: 90071

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☒ Authorized to be charged to deposit account

8. Deposit account number:

09-0460

03/17/2000 DNGUYEN 00000170 030460 03501493

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Janaki Komanduri

Name of Person Signing

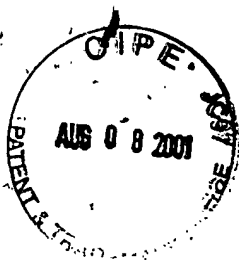
Signature

February 9, 2000

Date

Total number of pages including cover sheet, attachments, and

2



ASSIGNMENT

Docket No. ST999130

INVENTOR  
AND CITY

(1) John Marland Garth  
County of Santa Clara  
and (2) James Alan Ruddy  
County of Santa Clara  
and (3) Akira Shibamiya  
County of Santa Clara

of Gilroy,  
and State of California,  
of Gilroy,  
and State of California,  
of Los Altos,  
and State of California,

Whereas, we

have invented certain improvements in

TITLE

TECHNIQUE FOR DETERMINING AN OPTIMAL NUMBER OF TASKS IN A PARALLEL DATABASE LOADING  
SYSTEM WITH MEMORY CONSTRAINTS

DATES THAT  
INVENTORS  
SIGNED THE  
DECLARATION

and executed, respectively, a United States patent application therefor on

(1) 2/7, 2000, (2) 2/2, 2000, (3) 2/7, 2000.

Whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York, having a place of business at Armonk, New York 10504, (hereinafter called IBM), desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we, the above named, hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right, title and interest in the said application and invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and we request the Commissioner of Patents to issue any Letters Patent granted upon the inventions set forth in said application to IBM, its successors and assigns; and we hereby agree that IBM may apply for foreign Letters Patent on said invention and we will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

Signed

CITY  
DATE  
INVENTOR

(1) at San Jose  
on 2/7, 2000,

John Marland Garth SIGNATURE  
John Marland Garth

CITY  
DATE  
INVENTOR

and (2) at SAN JOSE  
on 2/2, 2000,

James Alan Ruddy SIGNATURE  
James Alan Ruddy

CITY  
DATE  
INVENTOR

and (3) at San Jose  
on 2/7, 2000,

Akira Shibamiya SIGNATURE  
Akira Shibamiya